

12-05-01

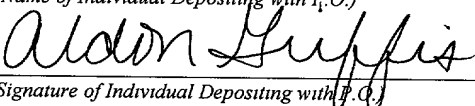
# GRAYCARY. TECHNOLOGY'S LEGAL EDGE<sup>SM</sup>

A  
Seq. listing

4365 Executive Drive, Suite 1100  
San Diego, CA 92121-2133  
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OJ 858-677-1456  
FJ 858-677-1465

10/31/01  
1048 U.S. PTO

ATTORNEY DOCKET NO.: UCSD1360-1

EXPRESS MAIL Number: <b>EV 016 237 061 US</b>	
Date of Deposit: October 31, 2001	
I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to BOX PATENT APPLICATION, Commissioner of Patents and Trademarks; Washington, DC 20231.	
ALDON GRIFFIS	
(Name of Individual Depositing with P.O.)	
	October 31, 2001
(Signature of Individual Depositing with P.O.)	

1000 U.S. PTO  
10/001938  
10/31/01

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10/001938  
10/31/01

**ATTN: BOX PATENT APPLICATION**  
**COMMISSIONER FOR PATENTS**  
Washington, DC 20231

Sir:

Transmitted herewith for filing is the new provisional-to-utility patent application of:

**APPLICANTS: Salvatore Albani, Dennis A. Carson, Berent J. Prakken and Alberto Martini**

**FOR: IMMUNOMODULATORY PEPTIDES DERIVED FROM HEAT SHOCK PROTEINS AND USES THEREOF**

Enclosed are the following papers, including all those required to receive a filing date under 37 CFR § 1.53(b):

Number of Pages

Specification	49
Claims	09
Abstract	01
Declaration – (Unsigned)	04
Drawing Sheets– (Formal)	14
Sequence Listing	05
Sequence Listing Declaration	01
Verified Statement	01
Disk	01 Disk

SILICON VALLEY SAN DIEGO SAN DIEGO/GOLDEN TRIANGLE SAN FRANCISCO AUSTIN SEATTLE SACRAMENTO LA JOLLA

Gray Cary\GT\6263486.1  
101668-990000

GRAY CARY WARE & FREIDENRICH LLP

ATTORNEY DOCKET NO.: UCSD1360-1

Box PATENT APPLICATION

October 31, 2001

Page 2

Enclosures:

- Application Data Sheet (3 pages)
- Return Receipt Postcard

The filing fee has been calculated as shown below: Small entity status is claimed.

	Number Filed		Number Extra		Rate			Fee	
					Small Entity	Large Entity		Small Entity	Large Entity
Total Claims	73-20	=	53		\$09	\$18	=	\$477.00	\$ .00
Independent Claims	3-3	=	0		\$42	\$84	=	\$	\$ .00
Multiple Dependent Claims Presented: ___ Yes <u>X</u> No					\$140	\$280		\$ .00	\$ .00
					BASIC FILING FEE			\$370.00	\$ .00
					TOTAL FEE			\$847.00	\$ .00

**PLEASE DEFER THE PAYMENT OF THE FILING FEE** until the executed Declaration is filed.

If this application is found to be INCOMPLETE, or if a telephone conference would otherwise be helpful, please call the undersigned at (858) 677-1456.

All future correspondence should be addressed to:

Lisa A. Haile, J.D., Ph.D.  
 GRAY CARY WARE & FREIDENRICH LLP  
 4365 Executive Drive, Suite 1600  
 San Diego, CA 92121-2189  
 Telephone: (858) 677-1456  
 Facsimile: (858) 677-1465

Table 1. Demographic characteristics of the study population	
Age (years)	Mean (SD)
Male	55.2 (10.5)
Female	56.8 (11.2)
Education (years)	Mean (SD)
Male	12.5 (2.1)
Female	12.3 (2.0)
Marital status	
Married	78.5%
Single	12.5%
Divorced	8.0%
Widowed	1.0%
Occupation	
Professional	15.0%
Managerial	10.0%
Technical	15.0%
Skilled	25.0%
Unskilled	35.0%
Retired	5.0%
Income (USD/month)	Mean (SD)
Male	1,200 (300)
Female	1,150 (280)
Health status	
Good	65.0%
Fair	25.0%
Poor	10.0%
Chronic diseases	
Hypertension	45.0%
Diabetes	30.0%
Heart disease	20.0%
Stroke	10.0%
Arthritis	15.0%
Chronic kidney disease	5.0%
Chronic lung disease	8.0%
Chronic liver disease	3.0%
Chronic mental illness	2.0%
Chronic pain	12.0%
Chronic fatigue	10.0%
Chronic insomnia	15.0%
Chronic depression	18.0%
Chronic anxiety	12.0%
Chronic stress	20.0%
Chronic anger	15.0%
Chronic sadness	10.0%
Chronic loneliness	8.0%
Chronic isolation	5.0%
Chronic social withdrawal	3.0%
Chronic self-harm	2.0%
Chronic suicidal thoughts	1.0%
Chronic suicidal behavior	0.5%
Chronic suicide risk	0.5%
Chronic suicide attempt	0.5%
Chronic suicide completion	0.5%
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Chronic suicide execution	0.5%
Chronic suicide completion	

A copy of this letter is enclosed. Kindly acknowledge receipt of this application by returning the enclosed postcard.

GRAY CARY WARE & FREIDENRICH LLP

Lisa O. Haite

Lisa A. Haile, J.D., Ph.D.  
Registration No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 577-1465

Gray Cary\GT\6263486.1  
101668-990000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Albani *et al.* Art Unit: Unknown  
Application No.: To be assigned Examiner: Unknown  
Filed: Herewith  
Title: IMMUNOMODULATORY PEPTIDES DERIVED FROM HEAT  
SHOCK PROTEINS AND USES THEREOF

Commissioner for Patents  
Washington, D.C. 20231

VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)

Sir:

I, Mikhail Bayley, declare that I personally prepared the paper and the computer-readable copies of the Sequence Listing filed herewith in the above-entitled case and that the content of both is the same.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of The United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 10/31/2001

Mikhail Bayley  
Mikhail Bayley

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, CA 92121-2133

Customer Number: 28213

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" LABEL NUMBER EV 016 237 061 US DATE OF DEPOSIT October 31, 2001

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Aldon Griffis

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER)

Aldon Griffis  
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Albani *et al.* Art Unit: Unknown  
Application No.: To be assigned Examiner: Unknown  
Filed: Herewith  
Title: IMMUNOMODULATORY PEPTIDES DERIVED FROM HEAT  
SHOCK PROTEINS AND USES THEREOF

Commissioner for Patents  
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. §§ 1.821(f) and (g);

Sir:

I hereby state, as required by 37 C.F.R. § 1.821(f), that the information recorded in computer readable form is identical to the written sequence listing.

I hereby state that the submission, filed in accordance with 37 C.F.R. § 1.821 (g), herein does not include new matter.

Respectfully submitted,

Date: 10/31/01



Lisa A. Haile, Ph.D.

Reg. No. 38,347

Telephone: (858) 677-1456

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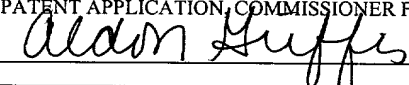
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Aldon Griffis

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